

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

9794353-0020

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/089857**

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/JP01/07248

24 August 2001 (24.08.01)

25 August 2000 (25.08.00)

TITLE OF INVENTION FRACTAL STRUCTURE AND ITS FORMING METHOD

APPLICANT(S) FOR DO/EO/US UGAJIN, Ryuichi

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Formal Drawings (51 pages - Figs. 1-51)

International Search Report

Cited References

U.S. APPLICATION NO. (if known, see 37 CFR 1.52)

10/089857

INTERNATIONAL APPLICATION NO.

PCT/JP01/07248

ATTORNEY'S DOCKET NUMBER

9794353-0020

21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a) (2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO ..... \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	19 -20 =	0	x \$18.00	\$ 0.00
Independent claims	2 -3 =	0	x \$80.00	\$ 0.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable) + \$270.00 \$ 0.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 890.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2. + \$ 0.00

**SUBTOTAL =**

\$ 890.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

**TOTAL NATIONAL FEE =**

\$ 890.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

**TOTAL FEES ENCLOSED =**

\$ 930.00

Amount to be  
refunded: \$

charged: \$

- a. ☒ A check in the amount of \$ 930.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

David R. Metzger  
Sonnenschein Nath & Rosenthal  
P.O. Box 061080  
Wacker Drive Station - Sears Tower  
Chicago, IL 60606-1080  
US

SIGNATURE

David R. Metzger

NAME

32,919

REGISTRATION NUMBER

10/089857

JCO5 Recd 02 APR 2002  
EXPRESS MAIL #EL370088458US

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

"Express Mail" Mailing Label Number: EL370088458US

Date of Deposit:

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box PCT, Commissioner of Patents, Washington, DC 20231.

Applicant(s): R. Ugajin

Attorney Docket No. 9794353-0020

Transmittal Letter to US

Copy of International Application as filed (PCT Request Form, Specification and Drawings)

English Translation of Application (including PCT Request Form, specification, claims, and abstract)

Drawings (51 pages - Figs. 1-51)

International Search Report (English/Japanese)

Information Disclosure Statement, Form 1449 and cited references

Executed Declaration/Power of Attorney

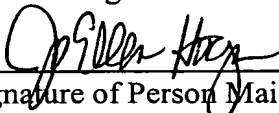
Preliminary Amendment

Executed Assignment Document and Assignment Recordal Coversheet

Check in the amount of \$930.00

Return postcard

JoEllen Hogan

 4/2/02  
\_\_\_\_\_  
Signature of Person Mailing Application and Fees

51/pri

VERIFICATION OF A TRANSLATION

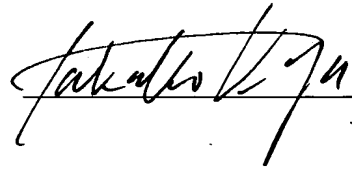
I, the below named translator, hereby declare that:  
My name and post office address are as stated  
below;

That I am knowledgeable in the English language and in the  
language in which the below identified international  
application was filed, and that I believe the English  
translation of the international application No.  
PCT/JP01/07248 is a true and complete translation of the above  
identified international application as filed.

I hereby declare that all statements made herein  
of my own knowledge are true and that all statements made on  
information and belief are believed to be true;  
and further that these statements were made with the  
knowledge that willful false statements and the like so made  
are punishable by fine or imprisonment, or both, under Section  
1001 of Title 18 of the United States Code and that such willful  
false statements may jeopardize the validity of the  
application or any patent issued thereon.

Date January 11, 2002

Full name of the translator Takako KOZU

Signature of the translator 

Post Office Address 41-2-111, Senju Akebonocho,  
Adachi-ku, Tokyo, 120-0023,  
JAPAN